

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Shayne Young

Serial No. 09/885,817

Filed: June 19, 2001

For: METHODS AND SYSTEMS FOR
IMPLEMENTING A FORWARD
CONVERSION SECURITIES
STRATEGY



§ Examiner: Unknown

§ Group Art Unit: 2182

§ Atty. Dkt. 5226-01600

Certificate of Mailing 37 C.F.R. § 1.8(a)

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date below:

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Date

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INFORMATION DISCLOSURE STATEMENT

APR 10 2002

Commissioner for Patents
Washington, D.C. 20231

Technology Center 2100

Sir:

Applicant respectfully requests that the Examiner consider the following U.S. Patent applications: 09/460,045, 09/629,657, 09/629,356, 09/676,019, 09/876,270, 09/866,500, 09/885,865, 09/970,078, 09/934,448 and 10/014,948. A copy of each of the above-referenced applications is enclosed for the convenience of the Examiner. Each of the above-referenced patent applications is to be considered as "Trade Secret" materials. As such, each of the above-referenced applications has been sealed and clearly marked as "Trade Secret" materials. The enclosed applications are not open to the public. The enclosed patent applications are to be opened only by an Examiner or other authorized Patent and Trademark Office employees.

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. A copy of each listed document is enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 50-1505/5226-01600/EBM.

Respectfully submitted,

Eric B. Meyertons

Reg. No. 34,876

Attorney for Applicant(s)

CONLEY, ROSE & TAYON, P.C.
P.O. BOX 398
AUSTIN, TEXAS 78767-0398
(512) 703-1254

Date: 4/4/02

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)



ATTY. DOCKET NO: 5226-01600

SERIAL NO: 09/885,817

APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2182

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	B1	4,674,044	6/1987	Kalmus, et al.			
	B2	5,347,452	9/1994	Bay, Jr.			
	B3	5,787,402	7/1998	Potter, et al.			
	B4	5,950,176	9/1999	Keiser, et al.			
	B5	6,014,643	1/2000	Minton			
	B6	6,016,483	1/2000	Rickard, et al.			
	C1	6,260,025	7/2001	Silverman, et al.			
	C2	6,006,206	12/1999	Smith, et al.			
	C3	5,987,432	11/1999	Zusman, et al.			

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FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2. ✓
	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs. ✓
	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2. ✓
	AA	Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock ✓

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	C4	5,966,531	10/1999	Skeen, et al.			
	C5	5,924,083	7/1999	Silverman, et al.			
	C6	5,924,082	7/1999	Silverman, et al.			
	C7	5,727,165	3/1998	Ordish, et al.			
	C8	5,195,031	3/1993	Ordish			
	C9	5,136,501	8/1992	Silverman, et al.			
	C10	5,077,665	12/1991	Silverman, et al.			
	C11	5,034,916	7/1991	Ordish			
	C12	5,003,473	3/1991	Richards			

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FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000					
	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000					

EXAMINER:

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Information Disclosure Statement--PTO 1449 (modified)

